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| <b>FORM PTO-1449</b><br>(REV. 6-89)   |  | U.S. DEPARTMENT OF COMMERCE<br>Patent and Trademark Office |  | Attorney's Docket No.<br><b>3854</b>                     |  | Serial No.<br><b>09/289,550</b>     |  |
| <b>INFORMATION DISCLOSURE CITATION</b><br>(Use several sheets if necessary) |  |  |  | Applicant<br><b>Richard W. Friesen and Peter C. Hart</b> |  | Filing Date<br><b>April 9, 1999</b> |  |
|   |  |  |  | Group Art Unit<br><b>2773</b>                            |  |                                     |  |

| U.S. PATENT DOCUMENTS |   |   |   |   |   |   |   |   |          |                        |       |          |                            |
|-----------------------|---|---|---|---|---|---|---|---|----------|------------------------|-------|----------|----------------------------|
| Examiner Initials     | A | 5 | 3 | 7 | 5 | 0 | 5 | 5 | Date     | Name                   | Class | Subclass | Filing Date if Appropriate |
| <i>CRK</i>            |   |   |   |   |   |   |   |   | 12/20/94 | Michael Togher, et al. | 364   | 408      | 2/3/92                     |
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|                       |   |   |   |   |   |   |   |   |          |                        |       |          |                            |
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|--------------------------|--|-----------------|------|---------|-------|----------|-------------|----|--|
|                          |  | Document Number | Date | Country | Class | Subclass | Translation |    |  |
|                          |  |                 |      |         |       |          | Yes         | No |  |
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| OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) |  |  |  |
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| EXAMINER<br><i>Charles Jh</i> | DATE CONSIDERED<br><i>4/12/02</i> |
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| Form PTO-1449<br>U.S. Department of Commerce<br>Patent and Trademark Office<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br> | Atty. Docket No.<br>03-1106 | Serial No.<br>09/289,550 |
|  | Applicant: Friesen et al.   |                          |
|  | Filing Date:<br>04/09/99    | Group: 3624              |

### U.S. PATENT DOCUMENTS

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|  |  | Document Number | Date | Country | Class | Subclass | Translation<br>Yes No |
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| <i>CRK</i> | 1. | CATS Traders' Manual, Toronto Stock Exchange, September 30, 1977 |
| <i>CRK</i> | 2. | Market Watch, Trading Screen, date not available                 |

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| Examiner <i>Charles R/L</i> | Date Considered <i>4/18/06</i> |
|-----------------------------|--------------------------------|

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 1 of 2

**Complete if Known**

|                        |                    |
|------------------------|--------------------|
| Application Number     | 09/289,550         |
| Filing Date            | April 9, 1999      |
| First Named Inventor   | Richard W. Friesen |
| Art Unit               | 3624               |
| Examiner Name          | Kyle, Charles      |
| Attorney Docket Number | 36992.00106        |

**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number<br>Number - Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of<br>Cited Document | Pages, Columns, Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear |
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**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of<br>Cited Document | Pages, Columns, Lines,<br>Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>6</sup> |
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| C/K                |                       | WO 95/26005 A1  | 09-28-1995                     | Belzberg, Sydney H.                                |  |                |
| C/K                |                       | WO 00/52619 A1  | 09-08-2000                     | WIT CAPITAL CORPORATION                            |  |                |
|                    |                       |   |                                |  |  |                |
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Examiner  
Signature

Charles Kyle

Date  
Considered

6/2/06

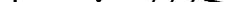
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| Substituted <b>241-449B/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |   |    |   | <b>Complete if Known</b> |                    |
|  |   |    |   | Application Number       | 09/289,550         |
|  |   |    |   | Filing Date              | April 9, 1999      |
|  |   |    |   | First Named Inventor     | Richard W. Friesen |
|  |   |    |   | Art Unit                 | 3624               |
|  |   |    |   | Examiner Name            | Charles Kyle       |
|  |   |    |   | Attorney Docket Number   | 36992.00106        |
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